

23026 U.S. PTO
040804

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PTO/SB/05 (01-04) (AW 02/2004)

Approved for use through 7/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

| | | |
|---|------------------------|------------------------------|
| UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 C.F.R. 1.53(b)) | Attorney Docket No. | AOY-3976US |
| | First Inventor | M. Nakano et al. |
| | Title | SEMICONDUCTOR COOLING DEVICE |
| | Express Mail Label No. | EL 985027173 US |

US PTO
10/8/2004
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| APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents. | ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 |
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)</p> <p>2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages <input]<br="" type="text" value="8"/>(preferred arrangement set forth below) - Descriptive title of the invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure</p> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <input]<="" p="" type="text" value="2"/><p>5. Oath or Declaration [Total Pages <input]<br="" type="text" value="3"/>a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) (for continuation/divisional with Box 18 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p><p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p></p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies</p> <p>ACCOMPANYING APPLICATIONS PARTS</p> <p>9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>10. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of (when there is an assignee) Attorney</p> <p>11. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>12. <input checked="" type="checkbox"/> Information Disclosure <input checked="" type="checkbox"/> Copies of IDS Statement (IDS)/PTO-1449 Citations</p> <p>13. <input checked="" type="checkbox"/> Preliminary Amendment</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</p> <p>15. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</p> <p>17. <input checked="" type="checkbox"/> Other: <u>Certificate of Express Mail</u></p> |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 C.F.R. 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information

Examiner _____

of prior application No: _____ / _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

| | | | | | |
|--|---------------|-----------|----------------|----------|----------------|
| 19. CORRESPONDENCE ADDRESS | | | | | |
| <input checked="" type="checkbox"/> Insert Customer Number 23122 OR <input type="checkbox"/> Correspondence address below | | | | | |
| Name | RatnerPrestia | | | | |
| Address | P.O. Box 980 | | | | |
| City | Valley Forge | State | PA | Zip Code | 19482 |
| Country | USA | Telephone | (610) 407-0700 | Fax | (610) 407-0701 |

| | | | |
|-------------------|---|-----------------------------------|---------------|
| Name (Print/Type) | Lawrence E. Ashery | Registration No. (Attorney/Agent) | 34,515 |
| Signature |  | Date | April 8, 2004 |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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The PTO did not receive the following listed item(s) the Preliminary

FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 810

Complete if Known

Application Number To Be Assigned
Filing Date Herewith
First Named Inventor M. Nakano et al.
Examiner Name
Art Unit
Attorney Docket No. AOY-3976US

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money ☐ Other ☐ None
Order

☒ Deposit Account (use as backup only):

Deposit Account Number 18-0350
Deposit Account Name RatnerPrestia

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below
☒ Credit any overpayments
☒ Charge any additional fee(s) or any underpayment of fee(s)
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|----------|----------|----------|----------|------------------------|----------|
| | | 1001 | 770 | 2001 | 385 | Utility filing fee | 770 |
| | | 1002 | 340 | 2002 | 170 | Design filing fee | |
| | | 1003 | 530 | 2003 | 265 | Plant filing fee | |
| | | 1004 | 770 | 2004 | 385 | Reissue filing fee | |
| | | 1005 | 160 | 2005 | 80 | Provisional filing fee | |

SUBTOTAL (1) (\$) 770

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| | | | | | | | | |
|--------------------|---|-------|---|---|---|----|---|---|
| Total Claims | 6 | -20** | = | 0 | X | 18 | = | 0 |
| Independent Claims | 1 | -3** | = | 0 | X | 86 | = | 0 |
| Multiple Dependent | | | X | | = | 0 | | |

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description |
|--------------|--------------|----------|----------|----------|----------|--|
| | | 1202 | 18 | 2202 | 9 | Claims in excess of 20 |
| | | 1201 | 86 | 2201 | 43 | Independent claims in excess of 3 |
| | | 1203 | 290 | 2203 | 145 | Multiple dependent claim, if not paid |
| | | 1204 | 86 | 2204 | 43 | ** Reissue independent claims over original patent |
| | | 1205 | 18 | 2205 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|----------|----------|----------|----------|--|----------|
| | | 1051 | 130 | 2051 | 65 | Surcharge - late filing fee or oath | |
| | | 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet. | |
| | | 1053 | 130 | 1053 | 130 | Non-English specification | |
| | | 1812 | 2,520 | 1812 | 2,520 | For filing a request for ex parte reexamination | |
| | | 1804 | 920* | 1804 | 920* | Requesting publication of SIR prior to Examiner action | |
| | | 1805 | 1,840* | 1805 | 1,840* | Requesting publication of SIR after Examiner action | |
| | | 1251 | 110 | 2251 | 55 | Extension for reply within first month | |
| | | 1252 | 420 | 2252 | 210 | Extension for reply within second month | |
| | | 1253 | 950 | 2253 | 475 | Extension for reply within third month | |
| | | 1254 | 1,480 | 2254 | 740 | Extension for reply within fourth month | |
| | | 1255 | 2,010 | 2255 | 1,005 | Extension for reply within fifth month | |
| | | 1401 | 330 | 2401 | 165 | Notice of Appeal | |
| | | 1402 | 330 | 2402 | 165 | Filing a brief in support of an appeal | |
| | | 1403 | 290 | 2403 | 145 | Request for oral hearing | |
| | | 1451 | 1,510 | 1451 | 1,510 | Petition to institute a public use proceeding | |
| | | 1452 | 110 | 2452 | 55 | Petition to revive - unavoidable | |
| | | 1453 | 1,330 | 2453 | 665 | Petition to revive - unintentional | |
| | | 1501 | 1,330 | 2501 | 665 | Utility issue fee (or reissue) | |
| | | 1502 | 480 | 2502 | 240 | Design issue fee | |
| | | 1503 | 640 | 2503 | 320 | Plant issue fee | |
| | | 1460 | 130 | 1460 | 130 | Petitions to the Commissioner | |
| | | 1807 | 50 | 1807 | 50 | Processing fee under 37 CFR 1.17(q) | |
| | | 1806 | 180 | 1806 | 180 | Submission of Information Disclosure Stmt | |
| | | 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) | 40 |
| | | 1809 | 770 | 2809 | 385 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| | | 1810 | 770 | 2810 | 385 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| | | 1801 | 770 | 2801 | 385 | Request for Continued Examination (RCE) | |
| | | 1802 | 900 | 1802 | 900 | Request for expedited examination of a design application | |

Other fee (specify)

*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$) 40

SUBMITTED BY

Name (Print/Type) Lawrence E. Ashery Registration No. Attorney/Agent 24,515 Telephone (610) 407-0700
Signature Date April 8, 2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): M. Nakano et al.

Docket No.

AOY-3976US

Serial No.

Filing Date

Examiner

Group Art Unit

To Be Assigned

Herewith

Invention: SEMICONDUCTOR COOLING DEVICE

I hereby certify that the following correspondence:

Utility Patent Application Transmittal and its enclosures


(Identify type of correspondence)

Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to:

Mail Stop Patent Application,

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

on April 8, 2004

Kathleen Libby*(Typed or Printed Name of Person Mailing Correspondence)*
*(Signature of Person Mailing Correspondence)*EL 985027173 US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**